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To: **Office of Initial Patent Examination**
U.S. Patent & Trademark Office

Facsimile: 703-746-9195
Telephone: 703-308-1202

From: Johny U. Han

Date: May 31, 2002

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Comments:**Official Filing**

Re: U.S. Serial No.: 09/870,876
Attorney Docket No.: 373722001600
Filing Date: May 30, 2001
Inventors: Kenneth MCGREER
Title: ARRAYED WAVEGUIDE GRATING WITH WAVEGUIDES OF UNEQUAL WIDTHS

Papers enclosed herewith:

1. Transmittal Form - 1 page
2. Communication Regarding Request for a Corrected Filing Receipt and Expedited Publication - 2 pages
3. Request for a Corrected Filing Receipt - 2 pages
4. Copy of marked-up Filing Receipt - 3 pages
5. Copy of Request for Early Publication filed May 30, 2001 - 2 pages
6. Copy of Utility Patent Application Transmittal filed May 30, 2001 - 1 page
7. Copy of date stamped return receipt postcard filed May 30, 2001 - 1 page
8. Copy of Filing Receipt dated August 6, 2001 - 3 pages

Please acknowledge receipt via return facsimile

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PTO/58/21 (08-00)
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

15

Application Number 09/870,878
Filing Date May 30, 2001
First Named Inventor Kenneth MCGREER
Group Art Unit 2874
Examiner Name H. Ngo
Attorney Docket No. 373722001600

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declarations☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/
Incomplete Application☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53☐ Assignment Papers
(for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a
Provisional Application☐ Power of Attorney, Revocation
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) _____☐ After Allowance Communication to
Group☐ Appeal Communication to Board of
Appeals and Interferences☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify
below):

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Publication - 2 pages
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filed on May 30, 2001 - 1 page
6. Copy of date stamped return receipt
postcard filed May 30, 2001 - 1 page
7. Copy of Filing Receipt dated August 8, 2001
- 3 pages
8. Fax cover sheet

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018

or

Individual Name

Johnney U. Han (Registration No. 45,565)

Signature

Date

May 31, 2002

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on May 31, 2002, to the attention of Office of Initial Patent Examination, via telefacsimile number 703-746-9195, phone number 703-308-1202.

Patricia Ellison

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

pa-698019

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PATENT
Docket No. 373722001600
Client Ref. A022

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on May 31, 2002, to the attention of Office of Initial Patent Examination, via telefacsimile number 703-746-9195, phone number 703-308-1202.

Patricia Ellison
Patricia Ellison

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Kenneth MCGREER

Serial No.: 09/870,876

Filing Date: May 30, 2001

For: ARRAYED WAVEGUIDE GRATING
WITH WAVEGUIDES OF UNEQUAL
WIDTHS

Examiner: H. Ngo

Group Art Unit: 2874

COMMUNICATION REGARDING REQUEST FOR A CORRECTED FILING
RECEIPT AND EXPEDITED PUBLICATION

Office of Initial Patent Examination
Customer Service Center
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

This Communication is being filed to correct the Official Filing Receipt mailed August 6, 2001, a copy of which is enclosed. Applicant notes that the Official Filing Receipt indicates that under the heading of "Projected Publication Date", a request for non-publication has been acknowledged. However, Applicant wishes to point out that this is incorrect. The Applicant has **NOT** submitted any request or certification for non-publication. Instead, Applicant had submitted a Request for Early Publication Under 37 C.F.R. §1.219 on May 30, 2001 requesting early publication. Accordingly, Applicant respectfully requests correction of the Official Filing

pa-697559

Receipt as well as expedited publication of the subject application. A Request for a Corrected Filing Receipt accompanied by a copy of the marked-up Filing Receipt is attached.

In support of this request, Applicant submits herewith copies of the following documents as originally filed on May 30, 2001:

- (1) Request for Early Publication Under 37 C.F.R. § 1.219,
- (2) Utility Patent Application Transmittal,
- (3) Date stamped return receipt postcard filed on May 30, 2001 in the above-referenced application, and
- (4) Official Filing Receipt showing the incorrect acknowledgement.

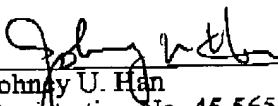
Applicant respectfully requests that the enclosed correction be entered into record.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing docket no. 373722001600. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: May 31, 2002

By:


John U. Han
Registration No. 45,565

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5786
Facsimile: (650) 494-0792

PATENT
Docket No. 373722001600
Client Ref. A022

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on May 31, 2002, to the attention of Office of Initial Patent Examination, via telefacsimile number 703-746-9195, phone number 703-308-1202.

Patricia Ellison
Patricia Ellison

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Kenneth MCGREER

Serial No.: 09/870,876

Filing Date: May 30, 2001

For: **ARRAYED WAVEGUIDE GRATING
WITH WAVEGUIDES OF UNEQUAL
WIDTHS**

Examiner: H. Ngo

Group Art Unit: 2874

REQUEST FOR A CORRECTED FILING RECEIPT

Office of Initial Patent Examination
Customer Service Center
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Please furnish the undersigned with a corrected Filing Receipt for the above-identified application. The correction needed is as follows:

1. In the field Projected Publication Date, please delete "Request for Non-Publication

Acknowledged"

A copy of the marked-up Filing Receipt is attached.

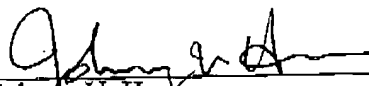
pa-697929

In the unlikely event that the transmittal letter is separated from this request and the Patent Office determines that a fee is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: May 31, 2002

By:


Johnny U. Han
Registration No. 45,565

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
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Facsimile: (650) 494-0792

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UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
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 WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/870,876	05/30/2001	2874	2245	373722001600	15	32	1

CONFIRMATION NO. 4883

RECEIVED
 Johnney U. Han
 Morrison & Foerster LLP
 755 Page Mill Road
 Palo alto, CA 94304-1018
AUG 08 2001
 Morrison & Foerster, LLP
 Palo Alto
FILING RECEIPT

OC00000006384649

Date Mailed: 08/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kenneth McGreer, Fremont, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/276,779 03/16/2001

Foreign Applications

If Required, Foreign Filing License Granted 07/31/2001

Projected Publication Date: ~~Request for Non-Publication Acknowledged~~

Non-Publication Request: Yes

Early Publication Request: No

**** SMALL ENTITY ******Title**

Arrayed waveguide grating with waveguides of unequal widths

Preliminary Class

385

DOCKETED

Data entry by : ALHAIDARI, KHAIRIA

Team : OIPE

Date: 08/06/2001

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

COPY

PATENT

Docket No. 373722001600

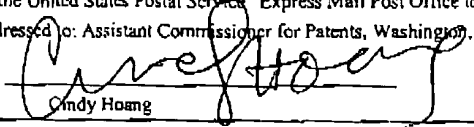
Client Reference A022

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Date of Deposit: May 30, 2001

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Cindy Hoang

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Kenneth MCGREER

Serial No.: To Be Assigned

Filing Date: Herewith

For: ARRAYED WAVEGUIDE GRATING
WITH WAVEGUIDES OF UNEQUAL
WIDTHS

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

REQUEST FOR EARLY PUBLICATION UNDER 37 C.F.R. §1.219

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicants respectfully request early publication of the above-referenced patent application. A Fee Transmittal, form PTO/SB/17, authorizing the required fee of \$300.00 is enclosed herewith in duplicate.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this

pa-591895

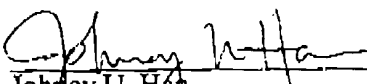
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document to Deposit Account No. 03-1952 referencing docket no. 373722001600. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: May 30, 2001

By:


John U. Han
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